

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NUMBER YPL-0064 SERIAL NUMBER 10/663,857 FILED 9-15-2003  
FIRST INVENTOR: Yeon-Su Lee TITLE VARIANT OF HNF-1ALPHA GENE HAVING  
NEW SINGLE NUCLEOTIDE POLYMORPHISM AND VARIANT OF PROTEIN ENCODED  
BY THE SAME EXAMINER NYA ART UNIT 1637

1. ☒ Applicant submits herewith a copy of (a) attached form PTO-1449, which lists all patents, publications, applications, or other information submitted for consideration by the Office; (b) a legible copy of each document required by 37 C.F.R. §1.98(b)(2).
2. ☐ Applicant herein apprises the Patent Office of references cited in a parent U.S. application from which this application obtains the benefit of an earlier filing date under 35 U.S.C. §120. The Serial Number of the parent application is U.S. Application \_\_\_\_\_ filed \_\_\_\_\_ and entitled \_\_\_\_\_.  
The publications cited therein are listed on attached Form PTO-1449. In accordance with 37 C.F.R. §1.98(d) copies of the listed publications are not required. ☐ Additional parent patent applications are listed on an attached sheet.
3. ☐ In accordance with 37 C.F.R. §1.98(a)(3), Applicant hereby certifies that for each reference not in English (check at least one box below):  
☐ A copy of a translation of one or more non-English document, or portion thereof, is provided herewith;  
☐ A concise explanation is (check at least one box below):  
☐ provided in the accompanying foreign or international search report; ☐ incorporated into the specification; and/or ☐ provided herewith.

### 37 C.F.R. §1.97(b)(1), (b)(2) – WITHIN 3 MONTHS OF FILING OR ENTRY IN NATIONAL STAGE

4. ☐ Since this Information Disclosure Statement is being filed within three months of the filing date of the subject application or within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, no fee or certification under 37 C.F.R. §1.97(e) is required.

### 37 C.F.R. §1.97(b)(3), (b)(4) – PRIOR TO MAILING OF FIRST OFFICE ACTION OR FIRST ACTION AFTER REQUEST FOR CONTINUED EXAMINATION

5. ☒ Since this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. §1.114, no fee or certification under 37 C.F.R. §1.97(e) is required.

### 37 C.F.R. §1.97(c) – AFTER FIRST ACTION, BEFORE FINAL ACTION OR ALLOWANCE

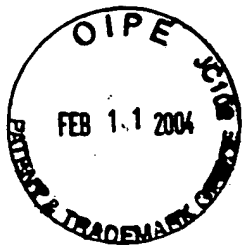
6. ☐ Since this Information Disclosure Statement is being filed outside of the period provided for in 37 C.F.R. §1.97(b), but before the mailing date of a Final Rejection or Notice of Allowance, this submission is being accompanied by (one of the following boxes must be checked):
- a. ☐ the fee required under 37 C.F.R. §1.97(c)(2) and specified in 37 C.F.R. §1.17(p).
- b. ☐ the statement specified in 37 C.F.R. §1.97(e) (Box 8 or 9 must be checked).

### 37 C.F.R. §1.97(d) – AFTER FINAL REJECTION OR ALLOWANCE

7. ☐ Since this Information Disclosure Statement is being filed after the period specified in 37 C.F.R. §1.97(c), but on or before payment of the issue fee and is accompanied by both the statement specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p). (Box 8 or 9 must be checked.)
8. ☐ In accordance with 37 C.F.R. §1.97(e)(1), Applicant's attorney certifies that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. ☐ The foreign or international search report(s) is/are enclosed.
9. ☐ In accordance with 37 C.F.R. §1.97(e)(2), Applicant's attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the information disclosure statement.
10. ☒ In the event the Commissioner of Patents deems that any additional fee is required under 37 C.F.R. §§ 1.16 or 1.17 in connection with this application, Applicant's attorneys authorize that such fee be charged to Deposit Account No. 06-1130.
11. Consideration of this Information Disclosure Statement is respectfully requested.

Name:	<u>Soonja Bae</u>	Registration Number	<u>SEE ATTACHED</u>
Signature		Date	<u>February 9, 2004</u>
CERTIFICATE OF MAILING OR TRANSMISSION: I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or [ ] facsimile transmitted to the U.S. Patent and Trademark Office to Facsimile No. _____ on the date shown below.			
Name	<u>Tammie Lanthier</u>	Date	<u>February 9, 2004</u>
Signature		Date	<u>February 9, 2004</u>

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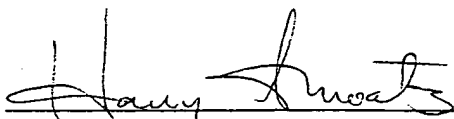
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE  
UNITED STATE PATENT AND TRADEMARK OFFICE**

**LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)**

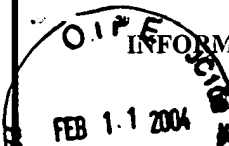
Soonja Bae is hereby given limited recognition under 37 CFR § 10.9(b) as an employee of Cantor Colburn LLP to prepare and prosecute patent applications wherein the patent applicant is the client of Cantor Colburn LLP, and the attorney or agent of record in the applications is a registered practitioner who is a member of Cantor Colburn LLP. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Soonja Bae ceases to lawfully reside in the United States, (ii) Soonja Bae's employment with Cantor Colburn LLP ceases or is terminated, or (iii) Soonja Bae ceases to remain or reside in the United States on an H-1 visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

**Expires: August 4, 2004**

  
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Harry I. Moatz  
Director of Enrollment and Discipline

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<div style="text-align: center;">  <p><b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)</p> </div>	<b>Docket Number (Optional)</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">YPL-0064</div>	<b>Application Number</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">10/663,857</div>
	<b>Applicant(s)</b> <div style="border: 1px solid black; padding: 2px;">Yeon-Su Lee, et al.</div>	
	<b>Filing Date</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">9-15-2003</div>	<b>Group Art Unit</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">1637</div>

**U.S. PATENT DOCUMENTS**

*EXAMPLE INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

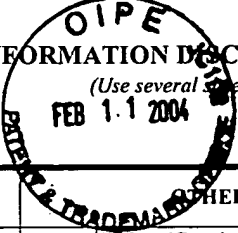
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

		"A distal dimerization domain is essential for DNA-binding by the atypical HNF1 homeodomain"; Authors: Tanguy Chouard, Marta Blumenfeld, Ingolf Bach, Joel Vandekerckhove; Silvia Cereghini and Moshe Yaniv; Oxford University Press; XP-002190082; Nucleic Acids Research, Vol. 18, No. 19; 1990; Pgs. 5853-5863
		DATABASE EMBL 'Online!'; March 19, 2002; retrieved from EBI Database accession no. AF483515; XP-002260758; Pgs. 1-2

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

 <p><b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)</p>		Docket Number (Optional) <b>YPL-0064</b>		Application Number <b>10/663,857</b>	
		Applicant(s) <b>Yeon-Su Lee, et al.</b>			
		Filing Date <b>9-15-2003</b>		Group Art Unit <b>1637</b>	
*EXAMINER INITIAL	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)				
	"Identification of nine novel mutations in the hepatocyte nuclear factor 1 alpha gene associated with maturity-onset diabetes of the young (MODY3)"; Authors: Martine Vaxillaire, et al.; Oxford University Press; XP-002051549; Human Molecular Genetics, Vol. 6, No. 4; 1997; Pgs. 583-586				
	"Mutations in the hepatocyte nuclear factor-1a gene in maturity-onset diabetes of the young (MODY3)"; Authors: Kazuya Yamagata, et al.; Letters to Nature, Vol. 384; December 5, 1996; Pgs. 455-458				
	"Novel MODY3 Mutations in the Hepatocyte Nuclear Factor - 1a Gene - Evidence for a Hyperexcitability of Pancreatic B - cells to Intravenous Secretagogues in a Glucose-Tolerant Carrier of a P447L Mutation"; Authors: Torben Hansen, et al.; Diabetes, Vol. 45; XP-002051548; April 1997; Pgs. 726-730				
	"Genetic variation in the hepatocyte nuclear factor-1a gene in Danish Caucasians with late-onset NIDDM"; Authors: S.A. Urhammer, S.K. Rasmussen, P.J. Kaisaki, N. Oda, K. Yamagata, A.M. Moller, M. Fridberg, L. Hansen, T. Hansen, G.I. Bell and O. Pedersen; Diabetologia, Vol. 40; XP-002260756; 1997; Pgs. 473-475				
	"Variants in the Hepatocyte Nuclear Factor-1 a and -4 a Genes in Finnish and Chinese Subjects With Late-Onset Type 2 Diabetes"; Authors: Johanna Rissanen, et al.; Epidemiology/Health Services/Psychosocial Research; XP-002260757; Diabetes Care, Vol. 23, No. 10; October 2000; Pgs. 1533-1538				
	European Search Report; Application No. 03020967.0-1212; Date: November 27, 2003				
EXAMINER		DATE CONSIDERED			
<p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>					

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